

Memorandum

Date: November 23, 1999

To: District Division Chiefs for Planning and Public Transportation

Attention: Regional Planning Seniors

Department of Transportation  
TRANSPORTATION PLANNING PROGRAM

FY 2000/2001 Overall Work Program Guidance

Attached for your information and distribution is the FY 2000/2001 Overall Work Program (OWP) guidance package for the Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs). The guidance primarily describes the time frame and regional transportation planning priorities for OWP development and anticipated funding for Fiscal Year (FY) 2000/2001. It also includes the final federal apportionment figures for federal FY (FFY) to complete the FY 1999/2000 OWPs.

The guidance package is composed of the following seven attachments:

Attachment A: Includes the final federal apportionment figures for 1999/2000 OWPs.

Attachment B: Includes the Planning funds descriptions and estimates for the FY 2000/2001 OWPs.

Attachment C: is the final Planning Emphasis Areas (PEAs) available for both MPOs and RTPAs during the development of their OWPs. They are also made available to District staff during review of draft OWPs, grants applications and for project monitoring. As was done last year, both the RTPAs and the MPOs are to use the PEAs during OWP development.

Attachment D: A chart depicting the "Overall Work Program Timeline 1998/99, 1999/00, 2000/01". This is to be used as a calendar of activities and deadlines. These, as always, are the mandatory planning deadlines, no exceptions are allowable. Note no OWP amendments will be considered by TPP after April 1.

Attachments E and F: "Check List for OWP Review" is intended to assist District staff in their review of their OWPs. It can also be utilized by MPO/RTPA staff during development of the draft OWPs. The list is not inclusive and the District may add or delete items as appropriate. Attachment F includes miscellaneous information relating to OWPs.

Attachment G, "Quarterly Reports" is intended to assist RTPA, MPO and District staff in the development and submission of their Quarterly Reports.

## Attachment A

Please provide the guidance package to the MPOs and RTPAs in your district to initiate development of the FY 2000/2001 OWPs.

Guidance for the competitively funded discretionary planning grant programs, FHWA Partnership Planning funds and FTA Section 5313(b) funds, will be distributed under separate cover.

## Attachment A

If you have any questions, please call your Headquarters' Regional Planning coordinator:

Dee Anne Berry	8-464-3175	Districts 5 and 11
Gabriel Corley	8-463-4665	Districts 6 and 9
John Mason	8-464-7809	District 2 and Funding Specialist
Stan Rubinstein	8-453-2978	Districts 1, 7, 8 and 12
LaNae Van Valen	8-453-3175	Districts 3, 4 and 10

Original Signed by  
SHARON SCHERZINGER, Chief  
Office of State and Regional Planning

Attachments

State of California  
Housing Agency

Attachment A  
Business, Transportation and

**M e m o r a n d u m**

To: DISTRICT DIVISION CHIEFS FOR  
PLANNING AND PUBLIC TRANSPORTATION

Date: November 23, 1999

File:

From: **DEPARTMENT OF TRANSPORTATION  
DIRECTOR'S OFFICE**

Subject: Metropolitan Planning Funds FFY 1999-0

The Federal Highway Administration (FHWA) has notified Caltrans that the 1999-00 apportionment for Metropolitan Planning Funds (PL) totals \$29,010,697. The federal matching ratio remains 88.53 percent federal and 11.47 percent local.

Please share this information with the Metropolitan Planning Organizations in your districts.

If you have any questions regarding this information, please call Sharon Scherzinger at (916) 653-3362 (CALNET 453-3362).

Original signed by  
Allan Hendrix, Deputy Director  
Planning

Attachment

**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL HIGHWAY ADMINISTRATION**

**APPORTIONMENT OF FUNDS FOR  
METROPOLITAN PLANNING  
AUTHORIZED FOR FISCAL YEAR 2000**

<b>STATE</b>	<b>AMOUNT</b>
ALABAMA	2,096,066
ALSAKA	943,920
ARIZONA	3,025,679
ARKANSAS	943,920
CALIFORNIA	29,010,697
COLORADO	2,708,783
CONNECTICUT	2,797,499
DELAWARE	943,920
DIST. OF COLOMBIA	943,920
FLORIDA	11,594,222
GEORGIA	3,714,519
HAWAII	943,920
IDAHO	943,920
ILLINOIS	9,658,814
INDIANA	3,067,463
IOWA	1,073,859
KANSAS	1,160,381
KENTUCKY	1,454,577
LOUISIANA	2,538,130
MAINE	943,920
MARYLAND	4,079,956
MASSACHUSETTS	5,388,792
MICHIGAN	6,621,497
MINNESOTA	2,700,940
MISSISSIPPI	943,920
MISSOURI	3,170,060
MONTANA	943,920
NEBRASKA	943,920
NEVADA	1,037,908
NEW HAMPSHIRE	943,920
NEW JERSEY	7,552,289
NEW MEXICO	943,920
NEW YORK	16,080,818
NORTH CAROLINA	2,862,626
NORTH DAKOTA	943,920
OHIO	7,583,541
OKLAHOMA	1,542,851
OREGON	1,617,714
PENNSYLVANIA	8,210,690
RHODE ISLAND	943,920
SOUTH CAROLINA	1,625,323
SOUTH DAKOTA	943,920
TENNESSEE	2,526,726
TEXAS	12,955,120
UTAH	1,503,216
VERMONT	943,920
VIRGINIA	4,362,791
WASHINGTON	3,662,189
WEST VIRGINIA	943,920
WISCONSIN	2,807,779
WYOMING	943,920
<b>TOTAL</b>	<b>\$ 188,784,075</b>

Approved Effective October 1, 1999

Original signed by,

Kenneth R. Wykle, Federal Highway Administrator

## PLANNING FUNDS' DESCRIPTION

### RURAL PLANNING ASSISTANCE FUNDS

For Fiscal Year (FY) 2000/2001, Rural Planning Assistance (RPA) funds are anticipated to be available for allocation to rural Regional Transportation Planning Agencies (RTPAs) after approval of the State Budget. Currently, the total statewide allocation is estimated to be \$1,500,000. The RTPAs should focus RPA funds on the appropriate uses described in "Regional Planning Funds Uses" (see Attachment B-3), and on the priorities identified in the attached Planning Emphasis Areas. In the past, an additional \$500,000 has been made available in the State Budget. These funds are the discretionary portion of the RPA funding.

### FEDERAL PLANNING FORMULA FUNDS

#### Federal Highway Administration PL Funds

The California apportionment is approximately \$29.010 million statewide for FY 2000/2001. The MPOs should focus PL funds on the priorities identified in the Planning Emphasis Areas.

The formula for PL funds is divided into three components: (1) a base allocation, (2) an air quality component based on the proportion of CMAQ funds to total programmatic PL fund sources, and (3) a population component which distributes funds by proportion of total population of each MPO.

- 1) The base allocation to each MPO is based on the PL share of the minimum **estimated** cost for the MPO to complete a Regional Transportation Plan, including meeting public participation requirements. The **estimated** base allocation to each MPO for the FY 2000/2001 is as follows (estimates based on 99/00 funding levels):

<u>MPO Population</u>	<u>Base Amount</u>
50k - 250k*	\$226,000
250k - 500k*	\$232,000
500k - 1m**	\$244,000
1m - 3m**	\$266,000
3m** +	\$316,000

\*k=thousand

\*\*m=million

(For the final PL figures, see Attachment A-2.)

The above base amounts will adjust annually by the percentage difference (increase or decrease) between the previous year and present year federal PL allocation to the State.

- 2) The air quality component is determined by multiplying available PL funds by the proportion of CMAQ funds to other programmatic sources of PL funds (NHS, STP, Bridge, Interstate Maintenance). It is distributed to MPOs through a process similar to the CMAQ formula outlined in 23 USC 104 (b)(2) for CMAQ.
- 3) The remaining PL funds are allocated to MPOs based on their percentage of current population.

A simple way of looking at the formula is:

$$\begin{array}{ccccccc} \text{BASE} & & \text{POPULATION} & & \text{AIR QUALITY} & & \text{TOTAL} \\ \text{ALLOCATION} & + & \text{ALLOCATION} & + & \text{ALLOCATION} & = & \text{ALLOCATION} \end{array}$$

Federal Transit Administration (49 USC, Chapter 53), Metropolitan Planning Program, Section 5303 Funds

For FY 2000/2001, MPOs there is approximately \$8.462\* million available statewide. The MPOs should focus Section 5303 funds on the priorities identified in the attached Planning Emphasis Areas.

The Section 5303 fund distribution formula provides a \$15,000 per MPO base allocation, with the remainder distributed by the MPO's statewide percentage of urbanized area population as of the most recent census.

The differences between the FHWA PL formula and the FTA Section 5303 formula are:

- 1) Air quality is a component of the PL formula, but is not included in the Section 5303 formula.
- 2) The PL formula uses total population of each MPO area, whereas the Section 5303 formula uses total urbanized population of each MPO area.

Federal Transit Administration, State Planning and Research Program/Discretionary Transportation Planning Grants, Section 5313(b) Funds

For FY 2000/2001, there is \$1.571\* million available statewide.

Guidance and direction for this competitively funded discretionary planning grant program will be distributed under separate cover in the near future.

Federal Highway Administration, State Planning and Research/Partnership Planning Funds

For FY 2000/2001, there is an **estimated** \$700,000 available statewide (estimates based on 99/00 funding levels).

Guidance and direction for this competitively funded discretionary planning grant program will be distributed under separate cover.

\*Funding numbers provided by FTA.



## **Regional Planning Funds Uses**

### Appropriate regional transportation planning funds uses:

#### 1) Regional planning studies and activities, such as:

- Participate in Federal and State Clean Air Act transportation related air quality planning activities.
- Participate in appropriate local level mandates.
- Involve the public in appropriate phases of the transportation planning process.
- Establish and maintain working relationships with Native American tribal governments enabling participation in local and state transportation planning activities.
- Identify and document transportation facilities, projects and services required to meet the regional and interregional mobility and access needs.
- Define solutions and implementation issues in terms of the multimodal transportation system, land use and economic impacts, financial constraints, air quality and environmental concerns (including wetlands, endangered species and cultural resources).
- Assess the operational and physical continuity of transportation system components within and between metropolitan and rural areas, and interconnections to and through regions.
- Identify and preserve the rights of way for construction of future transportation projects; include unused rights of way needed for future transportation corridors and facilities including airports and intermodal transfer stations.
- Investigate methods to reduce vehicle travel and methods to expand and enhance travel services.
- Incorporate transit and intermodal facilities, bicycle transportation facilities and pedestrian walkways in projects where appropriate.
- Conduct transit needs assessments and preparing transit development plans and transit marketing plans as appropriate; planning studies should emphasize airport ground transportation, and transportation to ports, recreational areas and other major trip-generating sites.
- Develop life cycle cost analysis in all stages of project development for all proposed transportation projects and services, and for transportation rehabilitation, operational and maintenance activities.

2) Regional planning consensus efforts, such as:

- Participate with regional, local and state agencies, the general public and the private sector in planning efforts to identify and implement policies, strategies, programs and actions that maximize and implement the regional transportation infrastructure.
- Create, strengthen and use partnerships to facilitate and conduct regional planning activities between Caltrans, RTPAs, MPOs, transit districts, cities, counties, the private sector and other stakeholders.
- Develop partnerships with local agencies responsible for land use decisions to facilitate coordination of transportation planning with land use, open space, job-housing balance, environmental constraints, and growth management.
- Work with appropriate agencies and developers to reach agreement on proper mitigation measures, and strategies to finance, implement and monitor these mitigation measures; after mitigation measures are implemented and determined to be effective, report status to project sponsors.
- Use partners to identify and implement policies, strategies, programs and actions that enhance the movement of people, goods, services and information.
- Ensure that projects developed at the regional level are compatible with statewide and interregional transportation needs.
- Review the regional project screening process, ranking process, and programming guidelines ensuring comprehensive cost/benefit analysis of all project types are considered.
- Develop and implement joint work programs with transportation and air quality agencies, including transit operators, to enhance coordination efforts, partnerships, and consultation processes; eliminate or reduce redundancies, inefficient or ineffective resource use and overlapping review and approvals.
- Identify and address issues relating to international border crossings, access to seaports, airports, intermodal transportation facilities, major freight distribution routes, national parks, recreation areas, monuments and historic sites, military installations and military base closures.
- Conduct planning and project activities (including corridor studies, Major Investment Studies, and other transportation planning studies) to identify and develop candidate projects for the Year 2002 State Transportation Improvement Program (STIP).

## **Attachment C**

- Preserve existing transportation facilities implementing ways to meet transportation needs by using existing transportation facilities more efficiently. Owners and operators of transportation facilities/systems work together developing operational objectives and plans maximizing utilization of existing facilities.

- Involve Federal permit and approval agencies early and continuously in the regional transportation planning process to identify and examine issues to develop necessary consensus and agreement; collaborate with Army Corps of Engineers, National Fish and Wildlife Service, Environmental Protection Agency and other federal agencies responsible for permits and NEPA approvals.

- Document environmental and cultural resources, and develop and improve coordination between agencies using GIS and ITMS, and other computer based tools.

3) Regional planning documents, consistent with Federal and State requirements and guidelines, such as:

- Overall Work Programs.
- Overall Work Program Agreements.
- Overall Work Program Amendments.
- Master Fund Transfer Agreements.
- Regional Transportation Plans.
- Transportation Improvement Programs.
- Environmental Impact Reports.
- Master Environmental Impact Reports.
- Major Investment Studies (and corridor studies).

## **FY 2000 REGION NINE PLANNING EMPHASIS AREAS**

### **Background**

Each year the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA) provide State Departments of Transportation and Metropolitan Planning Organizations in Region Nine with “Planning Emphasis Areas” for use in the development of Unified Planning Work Programs. The use of the Planning Emphasis Areas in each metropolitan area should be considered to the extent that they are relevant to and improve on the planning process in place. For Fiscal Year 2000, FTA/FHWA will utilize the seven broad planning areas outlined in section 1203(f) of the Transportation Equity Act for the 21st Century, and highlight planning emphasis areas under each of the planning areas.

### **Seven Planning Areas**

#### **1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency.**

The transportation planning process should examine strategies for coordinating and integrating system operations across modes and jurisdictions.

#### **2. Increase the safety and security of the transportation system for motorized and nonmotorized users.**

The transportation planning process can assist in identifying key safety projects and can prioritize the use of funds for specific problem areas, such as railroad grade crossings. Incorporating safety considerations into the development of projects for pedestrians and bicyclists is another important area.

#### **3. Increase the accessibility and mobility options available to people and for freight.**

Continuing focus on Title VI of the Civil Rights Act of 1964 and The Executive Order on Environmental Justice (Executive Order 12898) in the transportation planning process will be needed

to ensure transportation decisions are made in an equitable manner. This will involve a public involvement process that reaches out to the widest possible population, and consideration of issues in the transportation planning process linked to equity.

**4. Protect and enhance the environment, promote energy conservation, and improve quality of life.**

More explicit consideration of environmental considerations in the transportation planning process will not only improve the planning process, but also lead to more efficient delivery of transportation projects. Specifically, coordination with resource and permit agencies, the use of environmental inventories to identify sensitive areas, and improvements to analytical tools should be the key focus. The transportation process can better link transportation and land use by considering strategies such as livable communities or “smart growth” to give local and state decision-makers more options to consider.

**5. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.**

The transportation planning process should continuously assess the efficiency of intermodal connectors and ensure that representatives of the freight community and local elected officials play a key role in the planning process.

**6. Promote efficient system management and operation.**

The “mainstreaming” of Intelligent Transportation Systems into the transportation planning process is a new requirement of TEA-21, and will be critical for advancing ITS projects. There will also be a need for updates to Congestion Management Systems to ensure that there are multi-modal and intermodal evaluation criteria to adequately evaluate how the system is performing.

**7. Emphasize the preservation of the existing transportation system.**

The development of transportation plans that are continuously reflecting a twenty year horizon provides decision-makers the long-term look at the ability to finance the preservation of the existing transportation system. There needs to be a more focused look at assuring that there is adequate funding for the maintenance and rehabilitation of the existing transportation system.

**FY 2000 Region Nine  
Planning Emphasis Areas  
Addendum**

**Background**

In October of 1999, the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA) in Region Nine issued "FY 2000 Region Nine Planning Emphasis Areas". Subsequent to releasing the FY 2000 Planning Emphasis Areas, the Headquarters Offices of FTA and FHWA released National Planning Emphasis Areas for Fiscal Year 2000 in the Federal Register (October 28, 1999). These National Planning Emphasis Areas should be addressed in Region Nine in addition to those Planning Emphasis Areas released in October, 1999.

**National Planning Emphasis Areas**

The FY 2000 Region Nine Planning Emphasis Areas focused on specific topics related to the seven planning factors outlined in TEA-21 (section 1203(f)). The National Planning Emphasis Areas include the following: (1) Transportation Equity and Public Involvement; (2) Intelligent Transportation Systems National Architecture; and (3) Preparing for the Year 2000 Census. The FY 2000 Region Nine Planning Emphasis Areas incorporated the first two National Planning Emphasis Areas. The third National Planning Emphasis Area, preparing for the Year 2000 Census, should be addressed to the extent it is relevant to and improves on each metropolitan planning process.

<u>1998/1999 Overall Work Program</u>		<u>1999/2000 Overall Work Program</u>	<u>2000/2001 Overall Work Program</u>
Date	Action Needed	Action Needed	Action Needed
Jun - 99	1998/99 State Fiscal Year ends June 30. Districts undertake Quarterly Progress Reports.		
<b>July 1-June 30 = State Fiscal Year</b>			
Jul - 99	Quarterly Reports due to Headquarters.	When State budget is signed, the TPP allocates 1999/2000 Rural Planning Assistance funds to rural RTPAs. 1999/00 SFY begins July 1.	
Aug - 99		FHWA/FTA notifies Caltrans of estimated 1999/2000 metropolitan planning fund apportionments and appropriations. TPP develops and distributes schedule based upon FHWA PL & FTA Section 5303 formula funds.	
Sep - 99	September 30 all 98/99 fiscal invoices & final expenditure reports due in the TPP.	Districts undertake Quarterly Progress Reports	
<b>October 1- September 30 = Federal Fiscal Year</b>			
Oct - 99		1999/2000 Federal Fiscal Year begins October 1. TPP allocates metropolitan planning for 1999/2000. TPP notifies Districts of funding allocations and Districts notify MPOs. Quarterly Reports due to Headquarters.	
Nov - 99			TPP circulates to Districts the 2000/2001 OWP Guidelines and tentative list of Intermodal Planning Group meetings upon receipt of Federal PEAs, Certifications and Assurances.
Dec - 99		Districts Conduct Mid-year reviews for 1999/2000 OWP. Districts undertake Quarterly Progress Reports.	MPOs and Regional Transportation Planning Organizations initiate draft OWPs for 2000/2001 OWP.
Jan - 00		Quarterly/Mid-Year Reports due to Headquarters.	MPO draft OWP is due 30 days before its scheduled Intermodal Planning Group meeting.
Feb - 00	February 1, Districts send 1998/99 RTPA audit reports to Audits.		Beginning February, and proceeding through May, the Intermodal Planning Group meetings are held to discuss 2000/2001 draft OWP prepared by MPOs.
Mar - 00		Districts undertake Quarterly Progress Reports.	RTPAs' draft OWPs are due to Districts/TPP for review, comments and approval.

Apr - 00		April 1, is the final deadline for all approved 1999/2000 OWP amendments due to the TPP. Quarterly Reports due to Headquarters.	Indirect Cost Negotiation Agreements and Cost Allocation Plans are due from MPOs to Districts, which forward to Audits.
May - 00			Districts recommend approval of 2000/2001 OWPs via Overall Work Program Agreement.
Jun - 00		1999/2000 SFY ends June 30. Districts undertake Quarterly Progress Reports.	Prior to July 1, the final OWPs, MPO and FTA Certifications and Assurances to Headquarters, FHWA and FTA. 2000/2001 SFY begins July 1. When State budget is signed, OWPs are submitted to TPP, which encumbers funds.
Jul - 00		Quarterly Reports due to Headquarters.	
Aug - 00			
Sep - 00		September 30, 2000 all OWP fiscal invoices and final expenditure reports due to the TPP.	Districts undertake Quarterly Progress Reports.



## CHECK LIST FOR OWP REVIEW

The purpose of the following checklist is to assist Caltrans District staff in their review of the Overall Work Program (OWP). MPOs/RTPAs may also wish to use this list to ensure their OWP is complete.

### The content of the OWP should:

- Respond appropriately to funding priorities, including the Planning Emphasis Areas, and the seven TEA 21 Planning Factors.
- Comply with all State and Federal planning/administration program requirements and policies.
- Contain the MPO's annual certification to FHWA/FTA that the MPO planning process is addressing the major issues facing the region and is being conducted in accordance with all applicable laws (MPOs only).
- Respond adequately and appropriately to District concerns, regional transportation issues, regional transportation planning activities and transportation problems/needs facing the region.
- Respond to appropriate TEA 21 and SB 45 requirements, focus areas and partnerships (RTPAs and MPOs should be prepared to address the absence of meeting a requirement).
- Reflect the progress made by the MPO/RTPA in carrying out the previous year's work program and its performance capabilities. All anticipated continuing activities should be clearly identified.
- Contain a work element in the Draft OWP for each discretionary project application for Partnership Planning and/or FTA Section 5313(b). Include only approved discretionary-funded projects in the Final OWP.
- Include an information element which lists the transportation planning activities being done by other transportation planning agencies in the region, including Caltrans (see Attachment E-4).
- Reflect that all project-specific work involving transportation engineering and Transportation Development Act (TDA) required activities in the OWP is funded from sources other than Rural Planning Assistance funds or PL funds.

**The financial information in the OWP should:**

- Reflect the accurate fund source and fund amount for each work element; ensure the budget page also reflects the correct work element fund source and fund amount.
- Reflect accurate funding amounts (that are not rounded off) for each fund source, and budget figures that add up correctly.
- Reflect the required matching ratios for each fund source.
- Show consistency between the fund amounts in the individual work elements and the fund amounts in the overall budget.

**The format of the OWP should:**

- Illustrate an organized and logical flow of work element tasks and activities from project inception to project completion.
- Contain a reasonable task statement, estimated project schedule, detailed fund source and amounts, description of any related work accomplished in previous OWPs, and final products/activities for each work element.
- Identify all planning contracts in both the task and budget statements.

**Headquarters OWP Review:**

District staff are responsible for obtaining Headquarters Modal Program review of Draft OWPs. District staff are responsible for distributing OWP comments to all reviewing agencies, and to all Intermodal Planning Group members. A copy of each Draft OWP and a cover letter (requesting review, indicating District Coordinator to whom comments are returned and stating a reasonable due date) should be sent to:

- Aeronautics Program  
Attention: Nancy Benjamin, Office of Aviation Planning
- Mass Transportation Program  
David Cabrera, State Transit Programs
- Rail Program  
Warren Weber, Rail Program

## **Attachment F**

- Transportation Planning Program
  - Attention: Sharon Scherzinger, Office of Regional and Interagency Planning
  - Attention: Nathan Smith, Office of State Planning
  - Attention: Kazem Attaran, Office of Transportation Economics
  - Attention: Patricia Weston, Office of Advanced and System Planning
  - Attention: Olin Woods, Office of Corporate Program Management and Support
  - Office of Community Planning, (Office Chief vacant)
    - Attention: Chris Ratekin, Public Participation
- New Technology Program
  - Attention: Joan Borucki, Office Chief
- Any other area of the Department that District Staff deems appropriate for OWP review, depending upon the situation.

## MISCELLANEOUS OWP INFORMATION

### Overall Work Program Information Element:

The final rules for Statewide and Metropolitan Planning (23 CFR Section 450.314) require MPOs to include in their Overall Work Programs (OWPs), information on all planning activities within their region that are related to transportation and air quality. Information must be in sufficient detail to describe the products, the time frames and the responsible agencies. In addition, the Federal Highway Administration (FHWA), Region IX, has requested that all work elements identify the sources and the amount of funds.

District staff is required to prepare a list of Caltrans activities that are relevant to the region (see page F-4 for sample format). This list should be provided to the MPOs for inclusion as an informational element in their draft OWP. District staff should encourage MPOs to work with the cities, counties and transit agencies to complete similar listings. The MPOs are not being asked to approve the planning activities, rather, the purpose for identifying and including these activities in the OWP is to provide a comprehensive planning document that contains a complete picture of transportation planning in the region.

### FTA Certification and Assurances:

FTA requires (per FTA Circular 8100.1B, dated 10/25/96) written certifications and assurances that certain federal requirements have been met or will be met by the state and local recipients of FTA 49 USC, Chapter 53, Section 5303 funds. FTA has consolidated those certification and assurances into a single document with a signature page that any applicant may submit annually. Please see Fr102899b.pdf for Attachments F-5 and F-6.

### Caltrans District Regional Planning Staff Responsibilities:

- Work with the MPOs throughout the year to monitor the process and ensure the certification and assurances are met.
- Document evidence of certification and assurances requirements, provide feedback to the MPOs and discuss certification issues with the MPOs as they arise.
- Ensure the MPOs correctly include this planning certification in their resolution and in the adoption and approval of their final OWP.
- Prepare a letter to each MPO approving the OWP and affirming the certification finding, which indicates the District's:
  - final review and approval of the OWP; and

## **Attachment F**

- concurrence with the resolution adopting the MPO's OWP, and verifies the validity of the MPO's certification and FTA Certifications and Assurances.

### **Metropolitan Transportation Planning Process Certification:**

The attached Federal Highway Administration correspondence entitled: "Metropolitan Transportation Planning Process Certification Form" provides information on the attached Metropolitan Transportation Planning Process Certification form.

Please ensure each Metropolitan Planning Organization (MPO) is provided this form to be executed by each MPO Executive Director and each Caltrans District Director.

This form annually certifies the MPO transportation planning process to be completed and contained within each final Fiscal Year 00/01 Overall Work Program. Please see Attachments F-7\* and F-8 for more information and specifics.

### **State Clearinghouse:**

As part of the Consolidated Planning Grant process, and to maintain compliance with Executive Order 12372, the Office of Regional and Interagency Planning will submit one Std. Form 424, "Application for Federal Assistance," on behalf of all Metropolitan Planning Organizations and Regional Transportation Planning Agencies directly to the Office of Planning and Research, State Clearinghouse for Federal assistance for each of the following programs:

- FHWA Metropolitan Planning (PL funds)
- FTA Metropolitan Planning (Section 5303 funds)
- FTA State Planning and Research Grant (Section 5313 (b) funds)

Previously, each MPO or RTPA sent a Std. Form 424 form for these funds directly to the State Clearinghouse, creating multiple application forms. Because the Office of Regional and Interagency Planning now submits the Std. Form 424 forms directly to the State Clearinghouse, the RTPAs and MPOs are no longer involved with this portion of the State Clearinghouse process.

Once received, the State Clearinghouse processes the Std. Forms 424 and coordinates comments received. If appropriate, the State Clearinghouse contacts the Office of Regional and Interagency Planning for any additional information. Once complete, the State Clearinghouse provides the Office of Regional and Interagency

## **Attachment F**

Planning with the appropriate Compliance Letters to be distributed to the RTPAs, MPOs and Areawide Clearinghouses.

The RTPAs, MPOs, and Areawide Clearinghouses then file and distribute the Compliance Letters as appropriate.

\*F-7 is not in this document

### **Planning Horizons for Regional Transportation Plans/Metropolitan Plans:**

For information on Transportation Planning Horizons, please refer to the current Regional Transportation Plan Guidelines.

### **2000 Intermodal Planning Group Schedule:**

The attached (please see Attachments F-9 and F-10) schedule for the 2000 Intermodal Planning Group (IPG) meetings and the Planning Certification Review meetings is provided by IPG Chairman Robert O'Loughlin in anticipation of next year's series of meetings.

Any requests for date changes should be brought to his attention immediately, and to the Office of Regional and Interagency Planning (ORIP).

(PLEASE USE AS SAMPLE FORMAT)

**Other Planning Activities Within the Region**Informational Element

In accordance with the requirements of 23 CFR 450.314, the following is a list of planning activities for which Caltrans is responsible within the MPO metropolitan planning area.

Activity Description	MPO Work Element Number (if applicable)	Funding Type	Product(s)	Work Performed by	Due Date	FSTIP Programming Required (Y/N)	SIP Related Activity (Y/N)	Comm

## 2000 Intermodal Planning Group Schedule

<u>Location</u>	<u>Day</u>	<u>Date</u>	<u>Time</u>
<b>February</b>			
<i>Santa Barbara</i> .....	Tu-W.....	22-23.....	11:00 am
San Luis Obispo.....	Th.....	24.....	9:00 am
Merced.....	Tu.....	29.....	1:00 pm
<b>March</b>			
Modesto.....	W.....	1.....	9:00 am
Stockton.....	Th.....	2.....	9:00 am
<i>Honolulu</i> .....	Tu-W.....	7-8.....	10:00 am
Redding.....	Tu.....	14.....	9:00 am
Butte.....	Tu.....	14.....	2:00 pm
Sacramento.....	W.....	15.....	10:00 am
San Francisco/Oakland.....	Th.....	23.....	10:00 am
Monterey.....	F.....	24.....	10:00 am
Bakersfield.....	Tu.....	28.....	1:00 pm
Tulare.....	W.....	29.....	9:00 am
Fresno.....	W.....	29.....	1:00 pm
<b>April</b>			
Yuma.....	M.....	3.....	1:00 pm
Tucson.....	Tu.....	4.....	1:00 pm
Phoenix.....	W.....	5.....	9:00 am
Flagstaff.....	Th.....	6.....	9:00 am
<i>San Diego</i> .....	Tu-W.....	11-12.....	10:00 am



**Attachment F**

Tahoe..... Tu..... 18 ..... 10:00 am

Reno ..... Tu..... 18 ..... 1:00 pm

Las Vegas ..... W ..... 19 ..... 10:00 am

**May**

Los Angeles ..... Th..... 11 ..... 10:00 am

**NOTE:** *Bold italics* indicates MPOs scheduled for a planning certification review in conjunction with the IPG meeting.

10/99

## **QUARTERLY REPORTS**

The purpose of the quarterly reports, mid-year and year end reports, or quarterly progress reports, is to identify the Metropolitan Planning Organizations' (MPO's) and Regional Transportation Planning Agencies' (RTPAs') progress in completing activities identified in the Overall Work Program (OWP) and funded through and administered by the Office of Regional and Interagency Planning in the Transportation Planning Program.

Quarterly reports assist in monitoring the progress and funding of OWP work elements. The RTPAs, MPOs, Districts, and Headquarters use these reports to assure timely work completion and assist the identification of any work elements behind schedule.

Quarterly reports must be submitted on time and should be developed and provided to the District office within 30 calendar days after the end of the quarter (please see Attachment D, "OWP Timeline", for specific months).

### **The Quarterly Report should:**

- Be organized by work element and number.
- Contain a discussion of major activities under each work element that have taken place in the last quarter.
- Contain a reference to any products completed and/or the status of any expected products under each work element.
- Contain a note when a work element is behind schedule. An estimate of when the work element is expected to be back on schedule should be provided.
- Contain an estimate of total funds expended for each work element. (Districts should note the potential for cost overruns on a specific work element, and the need to prepare an OWP amendment to make budget modifications.

### **District responsibility for Quarterly Reports:**

Review the Quarterly Reports to ensure adequate information is provided:

- A brief narrative of work completed in that quarter.
- An estimate of percent of work completed.
- An estimate of total funds expended.
- An identification of problem areas.

## **ATTACHMENT G**

Obtain any additional clarification or information if there are any questions regarding the accuracy of the data.

- Prepare a transmittal letter to the Office of Regional and Interagency Planning in the Transportation Planning Program, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) that includes an OWP evaluation of progress to date. Any problem areas, corrective actions, or appropriate information should be included.
- Obtain originals or copies of any completed products via OWP work elements funded by FHWA, FTA or state funds administered by the Office of Regional and Interagency Planning in the Transportation Planning Program.